



GISLATIVE CAUCUS OPERATING DISCLOSURE FORM

PLEASE READ AND FOLLOW ALL INSTRUCTIONS FOR COMPLETE INFORMATION ON FILING THIS FORM.

Political Parties, Party Committees & Legislative Caucuses

WHEN:

- (1) A political party, legislative caucus committee, and a party committee must file a certified campaign report upon the receipt of anything of value which totals in the aggregate five hundred dollars or more. For purposes of this section, 'anything of value' includes contributions received which may be used for the payment of operation expenses of a political party, legislative caucus committee, or a party committee; and, thereafter within ten days following the end of each calendar quarter (January 10, April 10, July 10, October 10) either before or after each election regardless of whether contributions have been received or expenditures made.
- (2) Quarterly reports are due within ten days following the end of each calendar quarter (January 10, April 10, July 10, October 10) until a Final Report is filed.
- (3) A Final Report is filed when the account is closed (i.e., no funds are in the account and no money is due or owed).



WHO MUST FILE	WHERE TO FILE
Legislative Caucus	SENATE ETHICS COMMISSION P. O. BOX 142 Columbia, SC 29202
	HOUSE ETHICS COMMITTEE P. O. Box 11867 Columbia, SC 29211
Political Party and Party Committee	STATE ETHICS COMMISSION 5000 Thurmond Mall, Suite 250 Columbia, SC 29201

DEFINITIONS

COMMITTEE: means an association, a club, an organization, or a group of persons which, to influence the outcome of an elective office, receives contributions or makes expenditures in excess of five hundred dollars in the aggregate during an election cycle. It also means a person who, to influence the outcome of an elective office, makes:

(a) contributions aggregating at least twenty-five thousand dollars during an election cycle to or at the request of a candidate or a committee, or a combination of them; or

(b) independent expenditures aggregating five hundred dollars or more during an election cycle for the election or defeat of a candidate.

"Committee" includes a party committee, a legislative caucus committee, a non-candidate committee, or a committee that is not a campaign committee for a candidate but that is organized for the purpose of influencing an election.

CONTRIBUTION - means a gift, subscription, loan, guarantee upon which collection is made, forgiveness of a loan, an advance, in-kind contribution or expenditure, a deposit of money or anything of value made to a candidate or committee, as defined in Section 8-13-1300(6), for the purpose of influencing an election; or payment or compensation for the personal service of another person which is rendered for any purpose to a candidate or committee without charge. 'Contribution' does not include volunteer personal services on behalf of a candidate or committee for which the volunteer receives no compensation from any source or a gift, subscription, loan, guarantee upon which collection is made, forgiveness of a loan, an advance, in-kind contribution or expenditure, a deposit of money, or anything of value made to a committee, other than a candidate committee, and is used to pay for communications made not more than forty-five days before the election to influence the outcome of an elective office as defined in Section 8-13-1300(31)(c). These funds must be deposited in an account separate from a campaign account as required in Section 8-13-1312.

IN-KIND CONTRIBUTION OR EXPENDITURE - means goods or services which are provided to or by a person at no charge or for less than their fair market value.

EXPENDITURE- means a purchase, payment, loan, forgiveness of a loan, an advance, in-kind contribution or expenditure, a deposit, transfer of funds, gift of money, or anything of value for any purpose.

OPERATION EXPENSES- means expenditures for salaries and/or fringe benefits for part-time, full-time, temporary and/or contract employees; meeting expenses, travel, utilities, communications and/or communications equipment whether leased or purchased, printing or printing services, postage, food and/or beverage, advertising, consulting services, and/or any other expenditures which are not an authorized contribution to a candidate, committee, or ballot measure committee.

Political parties, legislative caucus committees, and party committees must have a separate checking account for operational funds and a separate checking account for funds used for campaign contributions or other expenditures used to influence an election or a ballot measure.

POLITICAL PARTY or PARTY COMMITTEE or LEGISLATIVE CAUCUS OPERATING DISCLOSURE FORM
GENERAL INSTRUCTIONS

NOTE: An original and one copy of all applicable parts of this form must be filed with the appropriate supervisory office.

Please type or print all responses. Incomplete or illegible forms may be returned. Supplemental sheets may be added if additional space is required.

Fax copies of these forms will not be accepted. The originals must be received no later than 5:00 p.m. on the date of the established deadline.

You are required to keep a copy for your records for four (4) years.

A late filing penalty of \$100.00 per day WILL be assessed by the appropriate supervisory office if the form is not received within five days after the established deadline.

A copy of each campaign disclosure form is mailed by the State Ethics Commission to the Clerk of Court in the county of residence of the party or caucus. These forms are matters of public record, open to public inspection upon request.

VIOLATIONS

If the Commission determines that a violation of the campaign practices has occurred, it may

- ➔ recommend administrative or disciplinary action;
- ➔ impose oral or written warnings or reprimands;
- ➔ require the violator to pay a civil penalty of not more than \$2,000.00 for each violation;
- ➔ require the forfeiture of anything received or the value of anything received in violation of the law; or
- ➔ refer the matter to the Attorney General for criminal prosecution.

If the Commission determines that a violation warrants criminal prosecution, the case will be referred to the Attorney General;

- ➔ a person convicted of a criminal violation is guilty of a misdemeanor and may be fined up to \$5,000.00, or imprisoned for up to 1 year or both;
- ➔ for a violation of the bribery section, guilty of a felony and may be fined up to \$10,000.00 and may be imprisoned for up to 10 years;
- ➔ the willful filing of a groundless complaint is a misdemeanor and can result in a \$1,000.00 fine or penalty;
- ➔ a person who violates any provision of the campaign finance law is guilty of a misdemeanor and, upon conviction, must be fined not more than five hundred percent of the amount of contributions or anything of value that should have been reported pursuant to the provisions of the campaign finance law, but not less than five thousand dollars or imprisoned for not more than one year, or both.

INSTRUCTIONS FOR **PAGE 1**

IDENTIFICATION NUMBER – EIN or a number to be generated by staff.

LOCATION OF OPERATING ACCOUNTS - List the account numbers for your operating savings account and checking account, as well as the name and address of the depository where the account(s) are maintained. The account information will not be provided to the public.

Name of Party or Caucus: _____

[illegible]

The following information is required for administrative purposes, only for positive identification of the filer, and will not be released to the public.

EIN:

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LOCATION OF OPERATING ACCOUNTS

A. Savings Account #

[illegible]

Name of Banking Institute:

Address:

B. Checking Account #

[illegible]

Name of Banking Institute:

Address:

NOTE:

PLEASE COMPLETE THIS ENTIRE REPORT IN **BLUE** OR **BLACK** INK, OR **TYPE**.

DO NOT USE PENCIL

KEEP A COPY FOR YOUR RECORDS

INSTRUCTIONS FOR PAGE 2

1. TYPE OF REPORT - Check the appropriate block: INITIAL; FINAL; QUARTERLY UPDATE. Indicate the applicable quarterly reporting period.
2. NAME OF PARTY OR CAUCUS - Identify the party or caucus filing the report by full and proper name. An acronym or abbreviation may be used by the committee if the acronym or abbreviation is commonly known or clearly recognized by the public.
3. ADDRESS FOR MAILING PURPOSES. Be sure to include your full address: city, state, and zip code.
4. COUNTY - Identify the name of the county for the party or caucus location.
5. CONTRIBUTIONS- **Contributions of more than \$100.00 must be itemized on Section A on page 3.**
 - A. Unitemized contributions are those which individually are \$100.00 or less. Itemized contributions are those which aggregate more than \$100.00. List the totals this period and totals for the election cycle to date from Section A.
 - B. In-Kind contributions are goods or services which are provided to or by a person at no charge or for less than their fair market value. They are also in-kind expenditures, and must equal 6A.
 - C. List total receipts by totaling the above columns.
6. **EXPENDITURES FOR POLITICAL PARTIES ONLY-All expenditures are to be itemized in Section B on page 4.**
 - A. In-Kind expenditures are goods or services which are provided to or by a person at no charge or for less than their fair market value. They are also in-kind contributions, and must equal 5B.
 - B. List total of all other expenditures from Section B.
 - C. List total expenditures by totaling the columns.
7. **BALANCE OF CONTRIBUTIONS**

Item 7(A) must equal contributions on hand from previous report. If none, show zero. The contributions on hand at the end of the reporting period (7D) is determined by adding the total of contributions received this reporting period (7B) to the amount on hand at the beginning of the reporting period (7A), and subtracting the amount of funds expended during the reporting period (7C).

SIGN AND DATE FORM

NOTE: PLEASE PROVIDE ONE ORIGINAL AND ONE COPY OF THIS FORM TO THE APPROPRIATE SUPERVISORY OFFICE, AND KEEP A COPY FOR YOURSELF.

1. Type of Report: ☐ Initial ☐ Final

Quarterly Update: ☐ Apr 10 ☐ Jul 10 ☐ Oct 10 ☐ Jan 10

2 Name of Party or Caucus

3. Mailing Address:																			
City:															State:				
Zip:					Phone:					-		-							
4. County:																			

5. CONTRIBUTIONS (Check if none _____)	Unitemized (\$100.00 or less)	Itemized (over \$100.00)	TOTAL This Period
A. Individual Contributions or other	(+)	(+)	(+)
B. In-Kind Contributions (Must equal 6A)	(+)	(+)	(+)
C. Total Contributions	(=)	(=)	(=)

6 EXPENDITURES		7 BALANCE OF CONTRIBUTIONS
	Total (This Period)	
A. In-Kind Expenditures (Must equal 5B)	\$	A. Contrib. On Hand (Beginning this Period) \$
B. Expenditures	(+)	B. Total Contributions (This Period) (5C.) (+)
C. Total Expenditures (=)	(=)	C. Total Expenditures (This Period) (6C) (-)
		D. Contrib. On Hand (Period End) (=)

CERTIFICATION: I certify that the contents of this statement are true, correct, and complete to the best of my knowledge and belief. I understand that if this statement is not received within five (5) days of the deadline, a late filing penalty of \$100.00 per day WILL be levied.

Date: _____ Signature: _____ Chair or Treasurer

Print Name: _____

FOR OFFICE USE ONLY: FAXED COPIES WILL NOT BE ACCEPTED

☐ Complete _____ ☐ Incomplete

☐ Entered _____ ☐ Scanned

NOTE: PLEASE PROVIDE ONE ORIGINAL AND ONE COPY OF THIS FORM TO THE APPROPRIATE SUPERVISORY OFFICE, AND KEEP A COPY FOR YOURSELF.

Party or Caucus Name: _____

E4A.3

[illegible]

CONTACT NUMBERS

For questions, call: 803/253-4192

or

**Visit the State Ethics Commission
or copy additional forms at:**

<http://ethics.sc.gov>

***State Ethics Commission
5000 Thurmond Mall, Suite 250
Columbia, SC 29201***

State Ethics Commission Commissioners

Gregory P. Harris, Member at Large, Chairman
Kenneth C. Krawcheck, Member at Large, Vice-Chairman
Marvin D. Infinger, 1st District
Edward F. Duryea, 2nd District
John L. Cannon 3rd District
Pete G. Diamaduros, 4th District
Duane G. Hansen 5th District
Priscilla L. Tanner, 6th District
Flynn T. Harrell, Member at Large